U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

NOTICE

N JO 1800.1

Effective Date:
7/1/2006

Cancellation
Date: 7/1/2007

SUBJ: NAS Change Proposal (NCP) Process Support of the Safety Management System

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1. **PURPOSE.** This notice addresses changes to the FAA NAS Change Proposal (NCP) process to support the Safety Management System (SMS). The NCP process is described in detail in FAA Order 1800.66, Configuration Management Policy.

2. **DISTRIBUTION.** This notice is distributed in Washington headquarters to division level within the Air Traffic Organization; to division level within the Technical Operations, En Route, and Terminal Service Areas; and to all Technical Operations, En Route, and Terminal field offices with a standard distribution.

3. **BACKGROUND.** Aviation safety is a fundamental mission of the FAA. Thus, changes to NAS systems, equipment, and facilities providing air traffic control must not negatively impact NAS safety. These NAS system changes are authorized and documented through the NCP process. Although the NCP process does not preclude evaluation of NAS changes for system safety, the agency did not have a corporate infrastructure in place to systematically assess NCPs for safety risks. The FAA Administrator's 2004-2008 Flight Plan identified a specific initiative to implement the SMS using a phased approach with initial implementation focusing on targeted NAS changes. In November 2003, the Air Traffic Organization (ATO) was created and with it the Safety Service Unit was established to provide an infrastructure to address policy, training, oversight/monitoring, and other resources to effectively integrate system safety into the operational NAS. This notice provides interim policy changes to the NCP process to support the SMS as described in the current SMS Manual.

4. **ACTION.** FAA Form 1800-2, NAS Change Proposal, in conjunction with a signed Casefile/NCP Safety Risk Management (CNSRM) Checklist or Safety Risk Management Decision Memo (SRMDM) and, if required, an approved Safety Risk Management Document (SRMD) shall be used to support effective decisions regarding changes to operational NAS systems, equipment, and facilities. Signed CNSRM checklists, SRMDMs, and SRMDs need to be considered as inputs to the casefile/NCP process, otherwise organizations that originate casefile/NCPs may experience process delays. Personnel that have been assigned casefile/NCP control desk responsibilities shall not assign NCP numbers to casefiles unless a signed CNSRM checklist or SRMDM is attached as part of the package.

NOTE: The completed/signed CNSRM checklist is an acceptable alternative for a Safety Risk Management Decision Memo (SRMDM) required per the SMS Manual. The signed CNSRM checklist or SRMDM are acceptable documents for the NCP process and both terms are considered as interchangeable throughout the remaining sections of this Notice. An SRMD must be prepared when the CNSRM checklist determines that safety risk management is required.

All Configuration Control Boards (CCBs) shall ensure that each NCP includes a signed CNSRM checklist or SRMDM and, if required, an approved SRMD. CCB Chairpersons shall approve only NCPs that include a signed CNSRM checklist or SRMDM, and, if required, an approved SRMD.

     a. Effective upon the date of this notice, all test case files/NCPs require a signed CNSRM checklist or SRMDM, and, if required, an approved SRMD.

     b. Effective October 1, 2006, ALL changes to the NAS requiring a casefile/NCP in accordance with FAA Order 1800.66 will also require a signed CNSRM checklist or SRMDM, and, if required, an approved SRMD.

5.   SRMD APPLICABILITY. When a system change is considered, supervisors may conclude that a comprehensive safety risk assessment is not required if the proposed change has no safety impact to the provision of air traffic service. For specific guidelines and criteria for making the determination, refer to the FAA SMS Manual Chapter 3 – Applicability of Safety Risk Management.

6.   SRM CASEFILE/NCP DOCUMENTATION AND GUIDELINES. When a change is proposed to the NAS, supervisors of casefile/NCP originators must use the SMS Manual to decide what level of safety analysis is required; this decision must be documented. All casefile/NCPs will require a signed CNSRM checklist, which will include the determination as to whether or not an SRMD will be completed. The CNSRM checklist must include the following per Appendix 1, Casefile/NCP Safety Risk Management (CNSRM) Checklist Template:

     a. Casefile number associated with CNSRM checklist.

     b. Casefile title associated with CNSRM checklist.

     c. Description of proposed system or change.

     d. Assumptions.

     e. Is further safety analysis required (Yes or No).

     f. If Yes checked – Attach plan for SRMD completion or an approved SRMD.

     g. If No checked – Include justification.

7.   SRMD DOCUMENTATON AND GUIDELINES. The SMS requires documentation for all proposed changes to the NAS regardless of whether or not an SRMD is required. All new and modified NAS operational systems must be evaluated for safety risk. The findings of safety risk assessments shall be documented in an SRMD. The SRMD is a report that documents the safety risk assessment findings to support a decision that the proposed system change meets risk acceptance criteria. The content of an SRMD is found in the SMS Manual, Appendix D.

a.   The SRMD will vary depending upon the type and complexity of the proposed change. For specific guidelines and criteria on making this determination, reference the FAA Safety Management System (SMS) Manual Chapter 5 – Safety Risk Management Documentation: Development and Approval. Supervisors of casefile/NCP originators shall ensure that a CNSRM checklist, and, if needed, an SRMD are signed by the appropriate authority effectively implementing the NAS change as outlined in the SMS Manual. FAA Order 1800.66 requires the supervisor of the person initiating the casefile to sign Block 23 of FAA Form 1800-2, NAS Change Proposal. This supervisor is also responsible for ensuring that a signed CNSRM checklist is attached to the casefile. Supervisors who approve casefiles in Block 23 are also responsible for ensuring the completeness of CNSRM checklists.

8.   RESPONSIBILITIES.

a.   The Safety Service Unit (ATO-S) is responsible for:

(1)   Reviewing NCPs, during the Must Evaluation Process, that include SRMDs that are subject to the Safety Service Unit's approval.

(2)   Commenting on NCP comments as appropriate.

(3)   Providing recommendations to NCP originators and assisting NCP originators in resolving safety related comments submitted.

(4)   Ensuring appropriate action items are recommended for incorporation into the NCP configuration control decision (CCD) as necessary.

(5)   Providing SRM training in an appropriate and timely manner to casefile originators and their supervisors who approve the casefiles in Block 23.

b.   Service Unit Safety Managers are responsible for:

(1)   Reviewing NCPs, during the Must Evaluation process.

(2)   Ensuring completeness of SRMDs.

(3)   Commenting on NCP comments as appropriate.

(4)   Providing recommendations to NCP originators and assisting NCP originators in resolving safety related comments submitted.

(5)   Ensuring appropriate action items are recommended for incorporation into the NCP configuration control decision (CCD) as necessary.

c.   Supervisors of casefile/NCP originators are responsible for:

(1)   Signing-off on Block 23 of casefile/NCPs originated within their organization consistent with the existing practice established by FAA Order 1800.66 and ensuring a CNSRM checklist and if required a SRMD is attached to the casefile/NCP.

(2)   Ensuring completeness of CNSRM checklists.
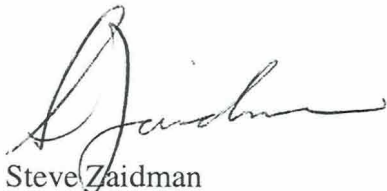
(3)   Signing off on CNSRM checklists.

d.   CCB Chairpersons are responsible for approving only NCPs that include a signed CNSRM checklist, and, if required, an approved SRMD.

e.   CM Control Desk personnel are responsible for assigning NCP numbers to only those casefiles that have a signed CNSRM checklist attached.

9.   FEEDBACK. When using the SMS guidance or templates, all organizations are encouraged to assess the effectiveness and usefulness. Organizations should provide feedback regarding the effectiveness and usefulness of the SMS guidance and templates to the Safety Service Unit.

10.   ISSUANCE OF ORDER. Following review and evaluation of the suggestions and recommendations received, FAA Order 1800.66 will be updated and fully coordinated in accordance with FAA Order 1320.1, FAA Directives System.

11.   WEBSITE LINKS. The following website links are available to assist in complying with this notice: http://intranet.faa.gov/ats/atq/

Steve Zaidman
Vice President, Technical Operations Services

APPENDIX 1. CASEFILE/NCP SAFETY RISK MANAGEMENT (CNSRM)
CHECKLIST TEMPLATE

Casefile Number_____

Casefile Title_____

Date:

To: Configuration Management Control Desk

Copy: **Recommend that copies be provided real time to:**

   Service Unit Safety Manager/Engineer

Description of Proposed System or Change
Enter a succinct description of the system or change. This need not be longer than one to several paragraphs. For proposed NCPs, this description will be the NCP definition.

Assumptions
What basic assumptions apply as the basis for the SRM decision (i.e., that this is an advisory service, is only for research and development or test, is a traffic management tool, aids in control of aircraft, etc.)? Describe the assumptions about the current system and potential system states, including about any critical support systems and interfaces without which the system could not achieve its functions. State the other organizations with which your system or change interfaces and if they are a party to this SRM decision.

Is Further Safety Analysis Required

   YES ☐   NO ☐

Justification/Rationale for SRM Decision
In this section, explain the process you used (i.e., the paragraphs and figures of the SRM guidance from the SMS Manual) to come to your decision. Tell why you believe a proposed system or change does or does not affect the NAS and why it does or does not have a safety-significant impact. Use the results of the SRM guidelines as the basis for the justification (reference the SMS Manual chapters on SMS Requirements and Applicability of Safety Risk Management).

If YES Checked Above – Attach the plan for SRMD Completion (this plan must also reference the casefile/NCP title and number) or attach the approved SRMD.

Signature Block